



Sheet 1 of 1

FORM PTO-1449  
(Rev. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. 14534

Serial No.  
10/722,423**LIST OF PRIOR ART CITED BY APPLICANT**  
(Use several sheets if necessary)

APPLICANT Maclsaac

FILING DATE 11/28/03

2616  
GROUP ~~2634~~

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/KY/	AA	2002/0082886	06/27/02	Manganaris et al	705	7	
	AB						
	AC						
	AD						
	AE						
	AI						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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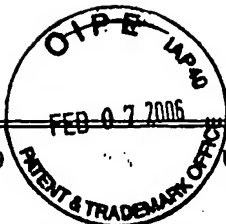
EXAMINER

/Kan Yuen/

DATE CONSIDERED

05/31/2007

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Sheet 1 of 1

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(Rev. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. 14534

Serial No.  
10/722,423**LIST OF PRIOR ART CITED BY APPLICANT**  
(Use several sheets if necessary)

APPLICANT MacIsaac

FILING DATE 11/28/03

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GROUP ~~2634~~

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							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

/KY/	AR		WADeS: A tool for distributed denial of service attack detection; A thesis by Anu Ramanathan, August 2002, 73 pages
	AS		
	AT		

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/Kan Yuen/

DATE CONSIDERED

05/25/2007

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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)	<b>Atty. Docket No.</b> 14534	<b>Serial No.</b> 10/722,423
	<b>Applicant(s)</b> MacIsaac, Gary Lorne	
	<b>Filing Date</b> November 28, 2003	<b>Group</b> <del>2631</del> 2616

**U.S. PATENT DOCUMENTS**

* Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
/KY/	A1	US2003/212902	13-11-2003	van der Made			
/KY/	A2	US6,665,867 B1	12-16-2003	lms et al.			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
/KY/	B1	WO 02/06928 A2	01-24-2002	VCIS, Inc.				

**OTHER ART** (including Author, Title, Date, Pertinent Pages, Etc.)

	C1	CHEN, Thomas M.; "Worm Epidemics in High-Speed Networks", IEEE Computer Society, 2004
	C2	LAM, Lap Fan; "E-Mail Viruses Detection: Detect E-Mail Virus by Network Traffic", The Faculty of School of Engineering and Applied Science, University of Virginia, March 24, 2002
	C3	STOLL, Clifford; "Stalking the Wily Hacker", Communication of the ACM, pp. 484-497, Volume 31, Number 5, May 1988

<b>EXAMINER</b> /Kan Yuen/	<b>DATE CONSIDERED</b> 05/25/2007
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\*EXAMINER:

Form PTO-A820

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P09C/REV03

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**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Atty. Docket No.  
14534

Serial No.  
10/722,423

Applicant(s)  
MacIsaac, Gary Lorne

Filing Date  
November 28, 2003

Group  
~~2621~~ 2616

**U.S. PATENT DOCUMENTS**

* Examiner Initial	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
						YES	NO

**OTHER ART** (including Author, Title, Date, Pertinent Pages, Etc.)

/KY/	C4	HELMAN, Paul and Gunar Liepins; "Statistical Foundations of Audit Trial Analysis for the Detection of Computer Misuse", IEEE Transactions on Software Engineering, pp. 886-901, Vol. 19, No. 9, September 1993
/KY/	C5	LIEPINS, G.E. and H.S. Vaccaro; "Intrusion Detection: Its Role and Validation", Computers & Security, pp. 347-355, 1992
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>
/Kan Yuen/		05/25/2007

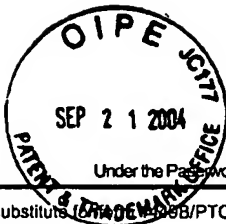
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PTO/SB/08B (10-01)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number	10/722,423
Filing Date	November 28, 2003
First Named Inventor	MacISAAC, Gary Lorne
Art Unit	2616
Examiner Name	Kan Yuen
Attorney Docket Number	14534 (S&B file no. 82977-6)

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/KY/	C11	BRADEN, R. (ed.); Memo (IETF RFC 1122): "Requirements for Internet Hosts -- Communication Layers" pp.1-117, October 1989	
/KY/	C12	STALLINGS, "High-speed Networks: TCP/IP and ATM Design Principles", pp. 240-255, Prentice-Hall 1998	
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Signature

/Kan Yuen/

Date  
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 3

### Complete if Known

Application Number	10 722 423
Filing Date	11/28/03
First Named Inventor	Gary Lorne MacIsaac
Art Unit	2634 2616
Examiner Name	
Attorney Docket Number	82977-6

### U.S. PATENT DOCUMENTS

Examiner	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/KY/	A1	US-5,606,668	02-25-1997	Shwed	
/KY/	A2	US-6,088,804	07-11-2000	Hill et al.	
/KY/	A3	US-5,892,903	04-06-1999	Klaus	
/KY/	A4	US-5,343,465 A	08-30-1994	Khalil	
/KY/	A5	US-6,321,338 B1	11-20-2001	Porras et al.	
/KY/	A6	US-2002/0002686 A1	01-03-2002	Vange et al.	
/KY/	A7	US-2002/0176369 A1	11-28-2002	Porikli et al.	
/KY/	A8	US-6,292,466 B1	09-18-2001	Droz, Patrick	
/KY/	A9	US-6,499,107 B1	12-24-2002	Glechauf et al.	
/KY/	A10	US-5,488,715	01-30-1996	Wainwright, Paul	
/KY/	A11	US-2002/0166083 A1	11-07-2002	Lachman et al.	
/KY/	A12	US-2002/078381 A1	08-20-2002	Farley et al.	
/KY/	A13	US-6,393,316 B1	05-21-2002	Gillberg et al.	
/KY/	A14	US-2003/0084327 A1	05-01-2003	Lingafelt et al.	
	A15	US-			
	A16	US-			
	A17	US-			
	A18	US-			
	A19	US-			
	A20	US-			

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> - Number <sup>3</sup> - Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
/KY/	B1	WO 99/40703 A1	08-12-1999	Ericsson Aus. Pty. Ltd.		<input type="checkbox"/>
/KY/	B2	WO 01/80524 A3	10-25-2001	Circadence Corp.		<input type="checkbox"/>
/KY/	B3	WO 01/46807 A1	06-28-2001	MCI Worldcom, Inc.		<input type="checkbox"/>
/KY/	B4	EP 0 999 718 A1	10-05-2000	Nortel Networks Corp.		<input type="checkbox"/>
/KY/	B5	WO 02/21802 A1	03-14-2002	Univ. of Michigan		<input type="checkbox"/>
/KY/	B6	WO 02/21244 A2	03-14-2002	Univ. of Michigan		<input type="checkbox"/>
/KY/	B7	WO 02/21801 A1	03-14-2002	Univ. of Michigan		
/KY/	B8	WO 02/21302 A1	03-14-2002	Mazu Networks, Inc.		
/KY/	B9	WO 02/21800 A1	03-14-2002	Univ. of Michigan		

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Signature

/Kan Yuen/

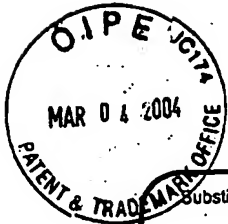
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 3

### Complete if Known

Application Number	10 722 423
Filing Date	11/28/03
First Named Inventor	Gary Lorne MacIsaac
Art Unit	2631 2616
Examiner Name	
Attorney Docket Number	82977-6

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> - Number <sup>3</sup> - Kind Code <sup>5</sup> (if known)				
/KY/	B10	WO 02/21296 A1	03-14-2002	Mazu Networks, Inc.		
/KY/	B11	WO 02/21771 A1	03-14-2002	Mazu Networks, Inc.		
/KY/	B12	WO 02/21297 A1	03-14-2002	Mazu Networks, Inc.		
/KY/	B13	WO 02/19661 A3	03-07-2002	Top Layer Networks, Inc.		
/KY/	B14	WO 02/025402 A3	03-28-2002	BBNT Solutions LLC		
/KY/	B15	WO 02/03084 A1	01-10-2002	Netrake Corporation		
/KY/	B15	WO 99/48303 A2	09-23-1999	Cisco Tech Ind.		<input type="checkbox"/>
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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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Sheet 3 of 3

## **Complete if Known**

Application Number	10 722 423
Filing Date	11/28/03
First Named Inventor	Gary Lorne MacIsaac
Art Unit	2631 2516
Examiner Name	
Attorney Docket Number	82977-6

## **OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

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/KY/	C1	CERT and FedCIRC, "CERT Advisory CA-2000-01 Denial-of-Service Developments", Computer Emergency Response Team of Carnegie-Mellon University Software Engineering Institute, January, 2001, online: <a href="http://www.cert.org/advisories/CA-2000-01.html">http://www.cert.org/advisories/CA-2000-01.html</a> (date accessed: 24 February 2004).	
/KY/	C2	H. DEBAR et al., "Towards a taxonomy of intrusion-detection systems" (1999) 31:8 Computer Networks 805.	
/KY/	C3	M. ROUGHAN et al., "Real-Time Estimation of the Parameters of Long-Range Dependence" (2000) 8:4 IEEE/ACM Trans. on Networking 487.	
/KY/	C4	B.C. SOH et al. "Setting optimal intrusion-detection thresholds" (1995) 14:7 Computers & Security Int'l J. 621.	
/KY/	C5	J. MIRKOVIC et al. "A Taxonomy of DDoS Attacks and DDoS Defense Mechanisms" University of California, Los Angeles, Computer Science Department Technical Report #020018, published prior to December 13, 2002, online: <a href="http://www.lasr.cs.ucla.edu/ddos/ucla_tech_report_020018.pdf">http://www.lasr.cs.ucla.edu/ddos/ucla_tech_report_020018.pdf</a> (date accessed: 24 February 2004).	
/KY/	C6	D. MOORE et al. "Internet Quarantine: Requirements for Containing Self-Propagating Code" University of California, San Diego, August, 2001, online: <a href="http://www.caida.org/outreach/papers/2003/quarantine/worm-infocom03.pdf">http://www.caida.org/outreach/papers/2003/quarantine/worm-infocom03.pdf</a> (date accessed: 24 February 2004).	
/KY/	C7	P. BARFORD et al. "A Signal Analysis of Network Traffic Anomalies" November, 2002, online: <a href="http://www.icir.org/ver/imw-2002/imw2002-papers/173.pdf">http://www.icir.org/ver/imw-2002/imw2002-papers/173.pdf</a> (date accessed: 24 February 2004).	
/KY/	C8	T. M. GIL et al. "MULTOPS: a data-structure for bandwidth attack detection" Proceedings of the 10th USENIX Security Symposium, Washington, D.C., August 2001, online: <a href="http://pdos.lcs.mit.edu/thomer/mit/multops_usenix2001.pdf">http://pdos.lcs.mit.edu/thomer/mit/multops_usenix2001.pdf</a> (date accessed: 24 February 2004).	

Examiner Signature

/Kan Yuen/

Date Considered

05/25/2007

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